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PTO/SB/21 (02-04)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

O I P E  
JULY 2004  
P A T E N T & T R A D E M A R K S  
S E R V I C E

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/766,132
Filing Date	January 19, 2001
First Named Inventor	Izumi Fukuda
Art Unit	2671
Examiner Name	Nguyen, Phu K.
Attorney Docket Number	72764 [SC159501]

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below) PTO/SB/08A and PTO/SB/08B in duplicate, 5 Cited References, including copy of JP Notification of Reasons for Refusal for corresponding JP App's. 2001-012277 and 2001-012278, and Return Receipt Postcard.
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Richard E. Wawrzyniak, Esq. (Reg. No. 36,048) Fitch, Even, Tabin & Flannery
Signature	
Date	July 14, 2004

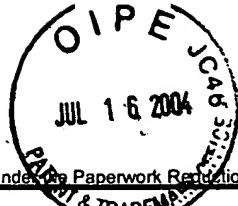
**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Sara R. Hart		
Signature		Date	July 14, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 180.00)

## Complete if Known

Application Number	09/766,132
Filing Date	January 19, 2001
First Named Inventor	Izumi Fukuda
Examiner Name	Nguyen, Phu K.
Art Unit	2671
Attorney Docket No.	72764 [SC159501]

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money Order  Other  None  
 Deposit Account:

06-1135

FITCH, EVEN, TABIN &amp; FLANNERY

The Director is authorized to: (check all that apply)

- 
- Charge fee(s) indicated below
- 
- Credit any overpayments
- 
- 
- Charge any additional fee(s) or any underpayment of fee(s)
- 
- 
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385			Utility filing fee	
1002 340	2002 170			Design filing fee	
1003 530	2003 265			Plant filing fee	
1004 770	2004 385			Reissue filing fee	
1005 160	2005 80			Provisional filing fee	
SUBTOTAL (1) (\$)					

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X	=
			- 3** =	X	=

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
1202 18	2202 9			Claims in excess of 20
1201 86	2201 43			Independent claims in excess of 3
1203 290	2203 145			Multiple dependent claim, if not paid
1204 86	2204 43			** Reissue independent claims over original patent
1205 18	2205 9			** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
1051 130	2051 65			Surcharge - late filing fee or oath	
1052 50	2052 25			Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130			Non-English specification	
1812 2,520	1812 2,520			For filing a request for ex parte reexamination	
1804 920*	1804 920*			Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*			Requesting publication of SIR after Examiner action	
1251 110	2251 55			Extension for reply within first month	
1252 420	2252 210			Extension for reply within second month	
1253 950	2253 475			Extension for reply within third month	
1254 1,480	2254 740			Extension for reply within fourth month	
1255 2,010	2255 1,005			Extension for reply within fifth month	
1401 330	2401 165			Notice of Appeal	
1402 330	2402 165			Filing a brief in support of an appeal	
1403 290	2403 145			Request for oral hearing	
1451 1,510	1451 1,510			Petition to institute a public use proceeding	
1452 110	2452 55			Petition to revive - unavoidable	
1453 1,330	2453 665			Petition to revive - unintentional	
1501 1,330	2501 665			Utility issue fee (or reissue)	
1502 480	2502 240			Design issue fee	
1503 640	2503 320			Plant issue fee	
1460 130	1460 130			Petitions to the Commissioner	
1807 50	1807 50			Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180			Submission of Information Disclosure Stmt	180.00
8021 40	8021 40			Recording each patent assignment per property (times number of properties)	
1809 770	2809 385			Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385			For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385			Request for Continued Examination (RCE)	
1802 900	1802 900			Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180.00)

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Richard E. Wawrzyniak, Esq.	Registration No. (Attorney/Agent)	36,048	Telephone	858-552-1311
Signature				Date	July 14, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Docket No. 72764 [SC159501]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Izumi Fukuda  
Application No.: 09/766,132  
Filed: January 19, 2001  
For: ENTERTAINMENT APPARATUS,  
STORAGE MEDIUM AND OBJECT  
DISPLAY METHOD  
Group Art Unit: 2671  
Examiner: Nguyen, Phu K.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

July 14, 2004

Date

*Sara R. Hart*  
Sara R. Hart

SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This Information Disclosure Statement is submitted:

- Under 37 CFR §1.97(b) before the mailing date of a first Office Action on the merits.
- Under 37 CFR §1.97(c) together with either:
  - a statement under 37 CFR §1.97(e), or
  - a fee under 37 CFR §1.17(p)  
(after the 37 CFR §1.97(b) time period, but before the mailing date of a final Action, a Notice of Allowance, or an action that otherwise closes prosecution).
- Under 37 CFR §1.97(d) together with either:

Supplemental IDS  
Application No. 09/766,132

- \_\_\_\_ a statement under 37 CFR §1.97(e), and
- \_\_\_\_ a fee under 37 CFR §1.17(p) (Fee Transmittal included herewith)  
(after the 37 CFR §1.97(c) time period, but on or before the payment of the issue fee).

\_\_\_\_ Statement under 37 C.F.R. § 1.97(e)(1): The undersigned states that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

In accordance with the duty of disclosure imposed by 37 CFR § 1.56 to inform the Patent Office of all patents, publications, applications and other information known by Applicants or Applicants' representative that may be material to the examination of the subject application, Applicants' representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 CFR §§ 1.97-1.98 and includes Form PTO/SB/08A and PTO/SB/08B with four (5) references listed as items AA-AE.

Copies of the items listed on the attached Form PTO/SB/08A and PTO/SB/08B are enclosed.

Concise Explanation of Relevance

Items AA-AE listed on the Form PTO/SB/O8A and PTO/SB/O8B are not in the English language.

A concise explanation of the relevance of item AA is in the form of a copy of a Japanese "Notification of Reasons for Refusal" dated April 27, 2004, issued over the corresponding Japanese Patent Application No. 2001-012277, that was mailed from a foreign patent office, and which refers to the references. The Japanese "Notification of Reasons for Refusal" dated April 27, 2004, is listed as item AD and a copy is included herewith. An English-language translation of portions of the Japanese "Notification of Reasons for Refusal" mailed April 27, 2004, is also included herewith.

A concise explanation of the relevance of items AB-AC is in the form of a copy of a Japanese "Notification of Reasons for Refusal" dated April 27, 2004, issued over Japanese Patent Application No. 2001-012278 corresponding to U.S. Application No. 09/765,780, that was mailed from a foreign patent office, and which refers to the references. The Japanese "Notification of Reasons for Refusal" dated April 27, 2004, is listed as item AE and a copy is

Supplemental IDS  
Application No. 09/766,132

included herewith. An English-language translation of portions of the Japanese "Notification of Reasons for Refusal" dated April 27, 2004, is also included herewith.

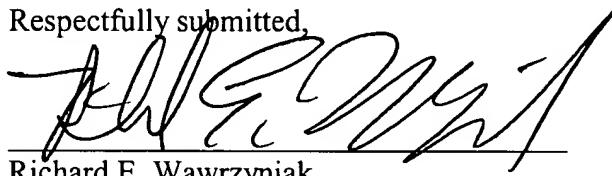
In addition, items AA-AC each include an English-language Abstract.

It is requested that the information provided herein be made of record in this application.

Dated:

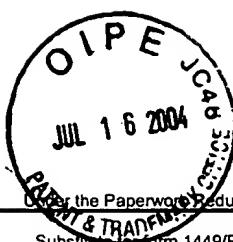
7/14/04

Respectfully submitted,

  
Richard E. Wawrzyniak  
Attorney for Applicant(s)  
Reg. No. 36,048

**Address all Correspondence to:**

FITCH, EVEN, TABIN & FLANNERY  
120 So. LaSalle Street  
Suite 1600  
Chicago, IL 60603  
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Facsimile: (858) 552-0095



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Substitute for form 1449/PTC

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(Use as many sheets as necessary)**

Sheet 1 of 2

<i><b>Complete if Known</b></i>	
Application Number	09/766,132
Filing Date	January 19, 2001
First Named Inventor	Izumi Fukuda
Art Unit	2671
Examiner Name	Nguyen, Phu K.
Attorney Docket Number	72764 [SC159501]

**U. S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> ~ Number <sup>4</sup> ~ Kind Code <sup>5</sup> (if known)				
	AA	JP 11-086031	03-30-1999	Ochi Ryuji et al.		✓
	AB	JP 11-146978	06-02-1999	Ouchi Satoshi		✓
	AC	WO 97/36261	10-02-1997	Yasuhiro Takahashi et al.		✓

**Examiner Signature** \_\_\_\_\_ **Date Considered** \_\_\_\_\_

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449/PTO				<b>Complete if Known</b>	
				Application Number	09/766,132
				Filing Date	January 19, 2001
				First Named Inventor	Izumi Fukuda
				Art Unit	2671
				Examiner Name	Nguyen, Phu K.
Sheet	2	of	2	Attorney Docket Number	72764 [SC159501]

<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.			T <sup>2</sup>
	AD	JAPANESE PATENT OFFICE, "Notification of Reasons for Refusal", dated April 27, 2004, for corresponding Japanese patent application No. 2001-012277, 4 pages.			<input checked="" type="checkbox"/>
	AE	JAPANESE PATENT OFFICE, "Notification of Reasons for Refusal", dated April 27, 2004, for corresponding Japanese patent application No. 2001-012278, 4 pages.			<input checked="" type="checkbox"/>

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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